



Attorney Docket No. YOR920030166US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicant(s): J.H. Connell et al.
Docket No.: YOR920030166US1
Serial No.: 10/601,350
Filing Date: June 23, 2003
Group: 2644
Examiner: To Be Assigned

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as first class mail addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature: *V. Condeeni*

Date: March 10, 2004

Title: Audio-Only Backoff in Audio-Visual
Speech Recognition System

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants' attorney wishes to bring to the attention of the Patent and Trademark Office the following documents listed on the accompanying Form PTO-1449. Copies of the listed documents are enclosed together with the search report that listed these documents.

U.S. Patent Documents

1. U.S. Patent Publication No. US 2003/0018475 issued on 01/23/03 to Basu et al.

Other Documents

1. A. Garg et al., "Frame-Dependent Multi-Stream Reliability Indicators for Audio-Visual Speech Recognition," Proceedings of the International Conference on Acoustics, Speech and Signal Processing, (ICASSP), Vol. I, pp. 24-27, April 2003.

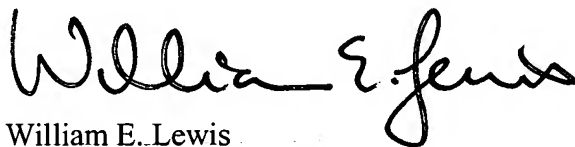
2. A. Rogozan et al., "Adaptive Fusion of Acoustic and Visual Sources for Automatic Speech Recognition," Speech Communication 26, Elsevier Science Publishers, Vol. 26, No. 1-2, pp. 149-161, October 1998.

3. J.H. Connell et al., "A Real-Time Prototype for Small-Vocabulary Audio-Visual ASR," Proceedings of the International Conference on Multimedia and Expo (ICME), Vol. II, pp. 469-472, July 2003.

The undersigned certifies in accordance with 37 C.F.R. §1.97(e)(1) that each item listed above was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. It is believed that there is no fee due in conjunction with the filing of this Information Disclosure Statement. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **International Business Machines Corporation Deposit Account No. 50-0510** as required to correct the error.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or as an admission that the information cited is considered to be material to patentability, or as a representation that no other material information exists.

Respectfully submitted,

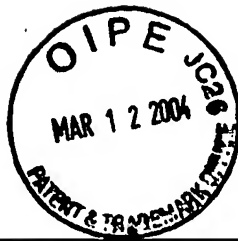
A handwritten signature in black ink, appearing to read "William E. Lewis". The signature is fluid and cursive, with the first name "William" being the most prominent part.

Date: March 10, 2004

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FORM PTO-1449 (MODIFIED)

LIST OF PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT



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U.S. PATENT DOCUMENTS

EXAMINER				FILING DATE
INITIAL	DOCUMENT NO.	DATE	NAME	IF APPROPRIATE
—	1. 2003/0018475	01/23/03	Basu et al	

FOREIGN PATENT DOCUMENTS

EXAMINER				TRANSLATION	
INITIAL	DOCUMENT NO.	DATE	COUNTRY	CLASS/SUBCLASS	YES NO
—					

OTHER DOCUMENTS

EXAMINER		
INITIAL	REF NO.	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
—	1.	A. Garg et al., "Frame-Dependent Multi-Stream Reliability Indicators for Audio-Visual Speech Recognition," Proceedings of the International Conference on Acoustics, Speech and Signal Processing, (ICASSP), Vol. I, pp. 24-27, April 2003.
—	2.	A. Rogozan et al., "Adaptive Fusion of Acoustic and Visual Sources for Automatic Speech Recognition," Speech Communication 26, Elsevier Science Publishers, Vol. 26, No. 1-2, pp. 149-161, October 1998.
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